

LIFE, ACCIDENT AND HEALTH INSURERS

COMPANY NAME: _____ **NAIC Company Code:** _____

Contact: _____ **Telephone:** _____

REQUIRED FILINGS IN THE STATE OF: _____ **Filings Made During the Year 2013**

(1) Check-list	(2) Line #	(3) REQUIRED FILINGS FOR THE ABOVE STATE	(4) NUMBER OF COPIES*			(5) DUE DATE	(6) FORM SOURCE**	(7) APPLICABLE NOTES
			Domestic		Foreign			
			State	NAIC	State			
		I. NAIC FINANCIAL STATEMENTS						
	1	Annual Statement (8 1/2"x14")	3	EO	xxx	3/1	NAIC	G,H(a), I, J, L, N(b)
	1.1	Printed Investment Schedule detail (Pages E01-E27)	3	EO	xxx	3/1	NAIC	
	2	Quarterly Financial Statement (8 1/2" x 14")	2	EO	xxx	5/15, 8/15, 11/15	NAIC	G, H(a), I, J, L, N(b)
	3	Separate Accounts Annual Statement (8 1/2"x14")	3	EO	xxx	3/1	NAIC	G, H(a), I, J, L, N(b)
		II. NAIC SUPPLEMENTS						
	10	Accident & Health Policy Experience Exhibit	2	EO	xxx	4/1	NAIC	M
	11	Actuarial Certification Related Annuity Nonforfeiture Ongoing Compliance for Equity Indexed Annuities	2	EO	xxx	3/1	Company	G, M
	12	Actuarial Certification Related to Hedging required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	G, M
	13	Actuarial Certification Related to Reserves required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	G, M
	14	Actuarial Certification regarding use 2001 Preferred Class Table	2	EO	xxx	3/1	Company	G, M
	15	Actuarial Opinion	3	EO	xxx	3/1	Company	G, M, N(b)(e)
	16	Actuarial Opinion on X-Factors	2	EO	xxx	3/1	Company	G, M
	17	Actuarial Opinion on Separate Accounts Funding Guaranteed Minimum Benefit	2	EO	xxx	3/1	Company	G, M
	18	Actuarial Opinion on Synthetic Guaranteed Investment Contracts	2	EO	xxx	3/1	Company	G, M
3	19	Actuarial Opinion required by Modified Guaranteed Annuity Model Regulation	2	EO	xxx	3/1	Company	G, M
	20	Analysis of Annuity Operations by Lines of Business	2	EO	xxx	4/1	NAIC	G, M
	21	Analysis of Increase in Annuity Reserves During Year	2	EO	xxx	4/1	NAIC	G, M
	22	Credit Insurance Experience Exhibit	2	EO	xxx	4/1	NAIC	M
	23	Financial Officer Certification Related to Clearly Defined Hedging Strategy required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	G, M
	24	Health Care Exhibit (Parts 1, 2 and 3) Supplement	2	EO	xxx	4/1	NAIC	M
	25	Health Care Exhibit's Allocation Report Supplement	2	EO	xxx	4/1	NAIC	M
	26	Interest Sensitive Life Insurance Products Report	2	EO	xxx	4/1	NAIC	M
	27	Investment Risk Interrogatories	2	EO	xxx	4/1	NAIC	M
	28	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit	2	EO	xxx	4/1	NAIC	M
	29	Life, Health & Annuity Guaranty Assessment Base Reconciliation Exhibit Adjustment Form	2	EO	xxx	4/1	NAIC	M
	30	Long-term Care Experience Reporting Forms	2	EO	xxx	4/1	NAIC	M
	31	Management Certification that the Valuation Reflects Management's Intent required by Actuarial Guideline XLIII	2	EO	xxx	3/1	Company	G
	32	Management Discussion & Analysis	2	EO	xxx	4/1	Company	J, N(b)
	33	Medicare Supplement Insurance Experience Exhibit	2	EO	xxx	3/1	NAIC	M
	34	Medicare Part D Coverage Supplement	2	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	M
	35	Reasonableness of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	G, M
	36	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXV	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	G, M
	37	Reasonableness of Assumptions Certification for Implied Guaranteed Rate Method required by Actuarial Guideline XXXVI	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	G, M
	38	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Average Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	G, M
	39	Reasonableness & Consistency of Assumptions Certification required by Actuarial Guideline XXXVI (Updated Market Value)	2	EO	xxx	3/1,5/15, 8/15, 11/15	Company	G, M
	40	Risk-Based Capital Report	1	EO	xxx	3/1	NAIC	G, I, N(b)
	41	RBC Certification required under C-3 Phase I	1	EO	xxx	3/1	Company	G, M

42	RBC Certification required under C-3 Phase II	1	EO	xxx	3/1	Company	G, M
43	Schedule SIS	2	N/A	N/A	3/1	NAIC	M
44	Statement on non-guaranteed elements - Exhibit 5 Int. #3	2	EO	xxx	3/1	Company	M
45	Statement on par/non-par policies – Exhibit 5 Int. 1&2	2	EO	xxx	3/1	Company	M
46	Supplemental Compensation Exhibit	1	N/A	N/A	3/1	NAIC	
47	Supplemental Schedule O	2	EO	xxx	3/1	NAIC	M
48	Trusted Surplus Statement	1	EO	xxx	3/1, 5/15, 8/15, 11/15	NAIC	G, M
49	Workers' Compensation Carve-Out Supplement	2	EO	xxx	3/1	NAIC	M
	III. ELECTRONIC FILING REQUIREMENTS						
50	Annual Statement Electronic Filing	xxx	EO	xxx	3/1	NAIC	
51	March .PDF Filing	xxx	EO	xxx	3/1	NAIC	
52	Risk-Based Capital Electronic Filing	xxx	EO	N/A	3/1	NAIC	
53	Risk-Based Capital .PDF Filing	xxx	EO	N/A	3/1	NAIC	
54	Separate Accounts Electronic Filing	xxx	EO	xxx	3/1	NAIC	
55	Separate Accounts .PDF Filing	xxx	EO	xxx	3/1	NAIC	
56	Supplemental Electronic Filing	xxx	EO	xxx	4/1	NAIC	
57	Supplemental .PDF Filing	xxx	EO	xxx	4/1	NAIC	
58	Quarterly Statement Electronic Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
59	Quarterly .PDF Filing	xxx	EO	xxx	5/15, 8/15, 11/15	NAIC	
60	June .PDF Filing	xxx	EO	xxx	6/1	NAIC	
	IV. AUDIT/INTERNAL CONTROL RELATED REPORTS						
71	Accountants Letter of Qualifications	2	EO	N/A	6/1	Company	N(d)
72	Audited Financial Reports	2	EO	xxx	6/1	Company	J, N(b)
73	Audited Financial Reports Exemption Affidavit	1	N/A	N/A	5/1	Company	J
74	Communication of Internal Control Related Matters Noted in Audit	2	N/A	N/A	8/1	Company	R
75	Independent CPA (change)	1	N/A	N/A	12/1	Company	N(d)
76	Management's Report of Internal Control Over Financial Reporting	2	N/A	N/A	8/1	Company	R
77	Notification of Adverse Financial Condition	2	N/A	N/A	Within 10 days of CPA Discovery	Company	
78	Request for Exemption to File	1	N/A	N/A	7/1	Company	J
79	Relief from the five-year rotation requirement for lead audit partner	1	EO	xxx	3/1	Company	J
80	Relief from the one-year cooling off period for independent CPA	1	EO	xxx	3/1	Company	J
81	Relief from the Requirements for Audit Committees	1	EO	xxx	3/1	Company	J
	V. STATE REQUIRED FILINGS***						
101	Certificate of Compliance	0	0	0		State	
102	Certificate of Deposit	0	0	0		State	
103	Certificate of Valuation	0	0	0		State	
104	Filings Checklist (with Column 1 completed)	0	0	0		State	
105	Premium tax	1	0	1	3/1	State	Q
106	State Filing Fees	1	0	1	7/1	State	C, O
107	Signed Jurat	xxx	0	xxx		NAIC	
108	Updated Biographical Affidavits	1	N/A	N/A	3/1, 5/15, 8/15, 11/15	Company	G, H(a) Domestic ONLY
109	Form B & C Holding Company Registration Statement	1	N/A	N/A	4/15	Company	S
110	Form B Inter-Company Agreement Supplement	1	N/A	N/A	4/15	State	M
111	Basket Clause Statement	1	N/A	N/A	3/1	State	T
112	Affidavit for Advertising Rules	1	N/A	1	3/1	State	
113	Affidavit Regarding TPA Pursuant to RSMo §376.1084	1	N/A	N/A	3/1	State	G, H(a)
114	Application for Renewal of C of A	1	N/A	1	7/1	State	G, H(a), N(c)
115	Actuarial Opinion Memorandum	1	N/A	N/A	6/15	Company	
116	RAAIS (Regulatory Asset Adequacy Issues Summary)	2	N/A	N/A	3/15	Company	

*If XXX appears in this column, this state does not require this filing, if hard copy is filed with the state of domicile and if the data is filed electronically with the NAIC. If N/A appears in this column, the filing is required with the domiciliary state. EO (electronic only filing).

**If Form Source is NAIC, the form should be obtained from the appropriate vendor.

***For those states that have adopted the NAIC updated Holding Company Model Act, a Form F filing is required annually by holding company groups. Consistent with the Form B filing requirements, the Form F is a state filing only and should not be submitted by the company to the NAIC.